

06-25-01

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BAKER BOTTS LLP

Please type a plus sign (+) inside this box → ⊕

UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	A32436-PCT-USA-A-072
First Inventor	BERTRAM JACOBS
Title	VIRAL VECTORS * see attached
Express Mail Label No.	EF321684821US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

- | | |
|--|--|
| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)
<i>(Submit an original and a duplicate for fee processing)</i></p> <p>2. <input checked="" type="checkbox"/> Applicant claims small entity status.
See 37 CFR 1.27.</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <u>15</u>]
<i>(preferred arrangement set forth below)</i></p> <ul style="list-style-type: none"> - Descriptive title of the invention - Cross Reference to Related Applications - Statement Regarding Fed sponsored R & D - Reference to sequence listing, a table, or a computer program listing appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description <p><input checked="" type="checkbox"/> Claim(s) [Total Sheets <u>2</u>]</p> <p><input checked="" type="checkbox"/> Abstract of the Disclosure [Total Sheets <u>1</u>]</p> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>3</u>]</p> <p>5. Oath or Declaration [Total Pages <u> </u>]</p> <p>a. <input type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63 (d))
<i>(for continuation/divisional with Box 18 completed)</i></p> <p>i. <input type="checkbox"/> DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</p> <p>6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission
<i>(if applicable, all necessary)</i></p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on:</p> <p>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</p> <p>ii. <input type="checkbox"/> paper</p> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p> <p>9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))</p> <p>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney
<i>(when there is an assignee)</i></p> <p>11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i></p> <p>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations</p> <p>13. <input type="checkbox"/> Preliminary Amendment</p> <p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)
<i>(Should be specifically itemized)</i></p> <p>15. <input type="checkbox"/> Certified Copy of Priority Document(s)
<i>(if foreign priority is claimed)</i></p> <p>16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.</p> <p>17. <input type="checkbox"/> Other: _____</p> |
|--|--|

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP)

of prior application No.: PCT/US00/10948

Prior application information:

Examiner _____

Group Art Unit: _____

☒ Customer Number or Bar Code Label

21003

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name

Address

City

State

Zip Code

Country

Telephone

Fax

Name (Print/Type)

Janet M. MacLeod

Registration No. (Attorney/Agent)

35,263

Signature

Janet M MacLeod

Date

6/22/2001

06/22/01

JCS39 U.S. PTO

JCS39 U.S. PTO
09/887295
06/22/01

Addendum Sheet 1

*Question 4 Addendum

4.a. Drawings are ☐ formal ☒ informal

* Question 5 Addendum

5.c. ☐ An unsigned oath or declaration is included.

* Question 8 Addendum

8.d. ☐ A sequence submission will follow.

* Question 9 Addendum

9.a. ☒ Assignment documents will follow.

9.b. ☐ Assignment documents have been filed in
parent application No.

* Question 11 Addendum

11.a. ☐ English translation will follow.

* Question 12 Addendum

12.a. ☐ Copies of IDS citations will follow.

* Question 15 Addendum

15.a. ☐ Certified copies of priority documents will follow.

15.b. ☐ Certified copies of priority documents have been filed in parent
application No.

Use the space below for additional information

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Title (continued):

VIRAL VECTORS HAVING ENHANCED EFFECTIVENESS WITH REDUCED VIRULENCE

Addendum Sheet 2

18a. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____
 Prior application information: Examiner _____ Group Art Unit: _____

18b. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____
 Prior application information: Examiner _____ Group Art Unit: _____

18c. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. _____
 Prior application information: Examiner _____ Group Art Unit: _____

☐ Amend the specification by inserting before the first line the sentence(s)

☐ "This application is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ "This application is based upon:

prior application No.: _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: _____, incorporated by reference herein,

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prior application No.: _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: _____, incorporated by reference herein,

☐ which is a ☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of:

☐ which is based upon:

prior application No.: _____, incorporated by reference herein."

Priority under 35 U.S.C. §119 is claimed based upon the following applications.

Foreign Applications:

Country: _____	Serial No: _____	Filing Date: _____
Country: _____	Serial No: _____	Filing Date: _____
Country: _____	Serial No: _____	Filing Date: _____

Provisional Applications:

Serial No: <u>60/136,277</u>	Filing Date: <u>May 27, 1999</u>
Serial No: _____	Filing Date: _____
Serial No: _____	Filing Date: _____

Patent fees are subject to annual revision		Complete if Known	
		Application Number	A32436-pct-usa-a-072448.0309
		Filing Date	June 21, 20001
		First Named Inventor	BERTRAM JACOBS
		Examiner Name	
		Group Art Unit	
(\$) 355		Attorney Docket No.	A32436-PCT-USA-A-072448.0309

(continued)																																																																																																																																																
<div style="margin-bottom: 10px;"> <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to </div> <div style="margin-bottom: 10px;"> Deposit Account Number 02-4377 </div> <div style="margin-bottom: 10px;"> Deposit Account Name Baker Botts LLP </div> <div style="margin-bottom: 10px;"> <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 </div> <div style="margin-bottom: 10px;"> <input checked="" type="checkbox"/> Applicant claims small entity status See 37 CFR 1.27 </div> <div style="margin-bottom: 10px;"> <input checked="" type="checkbox"/> Check <input type="checkbox"/> Credit card <input type="checkbox"/> Money Order <input type="checkbox"/> Other </div> <div style="margin-top: 20px;"> <table style="width: 100%;"> <tr> <td style="width: 10%;">710</td> <td style="width: 10%;">355</td> <td style="width: 60%;">Utility filing fee</td> <td style="width: 20%; text-align: right;">355</td> </tr> <tr> <td>320</td> <td>160</td> <td>Design filing fee</td> <td></td> </tr> <tr> <td>490</td> <td>245</td> <td>Plant filing fee</td> <td></td> </tr> <tr> <td>710</td> <td>355</td> <td>Reissue filing fee</td> <td></td> </tr> <tr> <td>150</td> <td>75</td> <td>Provisional filing fee</td> <td></td> </tr> </table> <div style="text-align: right; 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**or number previously paid, if greater, For Reissues, see above *Reduced by Basic Filing Fee Paid

Complete (if applicable)			
Name (Print/Type)	Janet M. MacLeod	Registration No (Attorney/Agent)	35,263
Telephone	(212) 408-2597		
Signature			
Date	June 22, 2001		